

Application Transmittal  
PATENT

**UTILITY PATENT  
APPLICATION  
TRANSMITTAL**

*(Only for new nonprovisional  
applications under 37 CFR 1.53(b))*

Attorney Docket No.	<u>004344-294NP</u>
First Named Inventor	<u>Ronald Rudkin</u>
Express Mail Label No.	<u>EL 889409847 US</u>
Total Pages	<u>3</u>



**BY EXPRESS MAIL – Label No. EL 889409847 US**

Mail Stop Patent Application  
Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

Enclosed herewith for filing is a patent application of Ronald Rudkin entitled "SYSTEM AND METHOD FOR DETERMINING THE VALUE AND OPTIMAL EXERCISE OF EMPLOYEE STOCK OPTIONS" which includes:

<input checked="" type="checkbox"/> Specification	<input checked="" type="checkbox"/> [29] Total Pages
<input checked="" type="checkbox"/> Claims	<input checked="" type="checkbox"/> [2] Total Pages
<input checked="" type="checkbox"/> Abstract	<input checked="" type="checkbox"/> [1] Total Pages
<input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> formal <input checked="" type="checkbox"/> informal	<input checked="" type="checkbox"/> [3] Total Sheets

☐ Combined Declaration and Power of Attorney      ☐ Total Pages  
    ☐ Newly executed (original or copy)  
    ☐ Copy from a prior application (for continuation/divisional only – **must be filed to avoid surcharge for late filing**)

If a continuing application, check appropriate box:

☐ Continuation      ☐ Divisional  
☐ Continuation-In-Part of prior application No.

☐ Amend the specification by inserting, before the first line, the following sentence:  
"This is a      ☐ continuation      ☐ divisional      ☐ continuation-in-part of copending  
application Serial No. \_\_\_\_\_ filed \_\_\_\_\_."

☐ An Assignment of the invention to  
    ☐ is attached. A separate cover sheet in compliance with 37 CFR 3.28 and 3.11 is included.  
    ☐ will follow.  
    ☐ has been filed in the prior application

☒ Small Entity Status is hereby claimed

☐ Information Disclosure Statement (IDS) PTO-1449

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Attorney Docket No. 004344-294NP

☐ Copies of IDS Citations

☐ Request and Certification for Non-publication under 35 U.S.C. 122(b)(2)(B)(i) **ENCLOSED.**

☐ Request to Rescind previous Non-publication Request under 35 U.S.C. 122(b)(2)(B)(ii) **ENCLOSED.**

☐ Request for Redacted Publication under 35 U.S.C. 122(b)(2)(B)(v) and the Redacted Publication **ENCLOSED.**

☐ Request for Early Publication under 35 U.S.C. 122(b)(1)(A) **ENCLOSED.**

☐ Preliminary Amendment

☒ Return Receipt Postcard

☒ Other: Certificate of Express Mailing

☐ Cancel in this application original claims of the prior application before calculating the filing fee.

The Fee has been calculated as shown below:

FOR	(Col. 1) No. Filed				(Col. 2) No. Extra				Small Entity			OR	Other than a small entity			
									Rate	Fee			Rate	Fee		
Basic Fee									375.00			750.00				
Total Claims	1	-	20	=	0	X	9	=	.00		X	18	=	.00		
Ind. Claims	1	-	3	=	0	X	42	=	.00		X	84	=	.00		
Multiple Dependent Claim							+	140	=	.00		+	280	=	.00	
TOTAL									375.00			0.00				

\* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

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Attorney Docket No. 004344-294NP

Fee payment being made:

<input type="checkbox"/> Enclosed		<input checked="" type="checkbox"/> Charge to Deposit Account No. 06-0923	
	<input checked="" type="checkbox"/> Filing Fee	\$	375.00
	<input type="checkbox"/> Recording Assignment : 37 CFR 1.21(h)	\$	.00
	<input type="checkbox"/> Publication Fees	\$	0.00
	Total Fees:		375.00
<input type="checkbox"/> A check in the amount of \$ <u>0.00</u> to cover filing fee and assignment recordation fee is enclosed.			

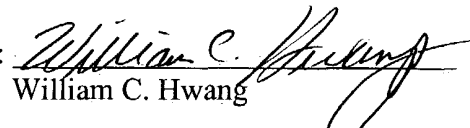
Priority

- ☐ Priority of application Country , Appln. No. , filed
- ☐ Certified Copy of Priority Document Country , Appln. No. , filed  
s  
☐ is/are attached ☐ will follow ☐ has been filed in the parent application S/N
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR 1.16, 1.17 and 1.21(h) associated with this communication or credit any overpayment to Deposit Account No. 06-0923. Two copies of this sheet are enclosed.

Dated: June 20, 2003

**GOODWIN PROCTER LLP**  
599 Lexington Avenue  
New York, NY 10022

BY:

  
William C. Hwang

Enclosures

PTO Registration No.: 36,169

**Country:** US  
**Application No.:** TBA  
**Filing Date:** June 20, 2003  
**Inventor:** Ronald Rudkin  
**Title:** SYSTEM AND METHOD FOR DETERMINING THE VALUE AND  
OPTIMAL EXERCISE OF EMPLOYEE STOCK OPTIONS  
**Atty Docket No.:** 004344-294-NP

**CERTIFICATE OF "EXPRESS MAILING"**

"EXPRESS MAIL" Mailing Label Number: EL 889409847 US

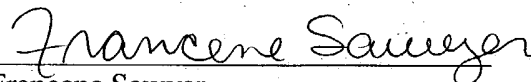
Deposited: June 20, 2003

I hereby certify that this and the enclosed paper(s) and/or fee(s) is/are being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Submitted herewith are the following items:

1. Utility Patent Application Transmittal in duplicate (6 pages);
2. Application of Ronald Rudkin (35 pages);
3. This Certificate of Express Mailing bearing the Express Mailing Label No. and deposit date stated above (1 page); and
4. Return Receipt Postcard.

TOTAL PAGES IN THIS SUBMISSION: 42 + postcard

  
Francene Sawyer